

Quality Assurance Surveillance Plan

Quality Assurance Surveillance Plan (QASP)

FOR

Vertical Transportation Equipment (Elevator) Maintenance, Repair, & Inspection Services

SECTION 1.0. PURPOSE

- 1.1. This QASP has been developed to provide an effective and systematic method to evaluate Contractor-provided services as required by the terms and conditions of the contract. This QASP implements the requirements of Performance Based Service Acquisitions (PBSA), with respect to the Government's quality assurance requirements.
- 1.2. This QASP is based on the premise that the Contractor is responsible for contract management and quality control, not the Government. The Government's objective in having the service provided is Vertical Transportation Equipment (VTE) (Elevator) Maintenance, Repair, & Inspection Services. The result the multi-functional team is striving to achieve in managing the acquisition is to assure professional project management technical support as stated in the PWS of this contract. A contract to provide the service is the best means of achieving this objective and results.
- 1.3. Success for this contract is defined as:
 - 1.3.1. Achieve execution of Vertical Transportation Equipment (Elevator) Maintenance, Repair, & Inspection Services in the form of monitoring and maintaining 460 CES computer based systems and inventory as well as install, configure, diagnose faults, and solve technical application problems. Support may include evaluation of new CES programs required by DoD and AF directives.
 - 1.3.2. The 460 CES is able to measure support productivity and demonstrate a return on investment in terms of positive customer service feedback.
- 1.4. This QASP describes the method(s) used to evaluate Contractor-provided services in meeting performance objectives and performance thresholds. Contracting Officer Representative (COR) will use site inspection during Contractor inspections and maintenance visits to evaluate the Contractor's performance. The COR will also use periodic surveillance and responses to customer complaints to evaluate Contractor's performance. The assessment procedures identified in this QASP, in concert with active application of the Contractor's quality control procedures, are intended to ensure acceptable Contractor performance.
- 1.5. The role of Government quality assurance is to ensure contract standards are achieved. In conducting assessments, CORs are to be objective, fair, and consistent in evaluating Contractor performance against the performance standards.

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- 1.6. This QASP is a living document and shall be revised or modified by members of the multi-functional team as circumstances warrant, throughout the life of the contract as needed, to ensure adequate oversight of Contractor performance is maintained.

SECTION 2.0.
ROLES AND RESPONSIBILITIES OF THE MULTI-FUNCTIONAL TEAM (MFT)

2.1. 460th Contracting Flight (CONF), Buckley AFB, Colorado

- 2.1.1. Provides comprehensive contract administration, management, and oversight.
- 2.1.2. Provides oversight for COR training program.
- 2.1.3. Collects assessment inputs from COR.
- 2.1.4. Provides annual status on contract performance.

2.2. 460th Contracting Squadron Commander

- 2.2.1. Provides oversight of the multi-functional team (MFT) in planning, assessing contractor performance, and managing the acquisition throughout the life of the requirement.
- 2.2.2. Updates the Wing Commander, Group Commanders, and other Headquarters Directors, to include providing annual reports on the status of their service acquisitions.

2.3. 460 CES Functional Director/Functional Commander (FD/FC)

- 2.3.1. Ensures requirements documents developed by the multi-functional team satisfy mission requirements, are performance-based, foster innovation, and define metrics. Ensures preparation of PWS and QASPs and obtains CO coordination on the final product.
- 2.3.2. Nominates qualified individuals as COR. Ensures all personnel within the functional area who may have contact with Contractor employees are aware of the contractual working relationship and the necessity to avoid any conduct that may constitute a real or perceived conflict of interest.

2.4. Contracting Officer (CO)/Contract Specialist (CS)

- 2.4.1. Ensures open communication is maintained between all parties, pre- and post-award.
- 2.4.2. Delegates authority for inspection and/or acceptance to COR in accordance with the terms and conditions of the contract.
- 2.4.3. Informs the Contractor of the names, duties, and limitations of authority for all COR assigned to the contract.
- 2.4.4. Periodically assesses the COR performance and advises the QAPC of any problems.
- 2.4.5. Manages Contractor performance assessment data, including submitting Contractor Performance Assessment Reporting System (CPARS) reports.

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2.4.6. Issues contract modifications as necessary.

2.4.7. Takes appropriate action should unacceptable contract performance occur.

2.5. Quality Assurance Personnel/Contracting Officer Representative

2.5.1. Develops technical requirements and independent cost/Government estimates for contract services.

2.5.2. Evaluates and documents the Contractor's performance in accordance with the procedures set forth in this QASP.

2.5.3. Immediately notifies the CO of any significant performance deficiencies.

2.5.4. Maintains assessment documentation throughout the life of the contract.

2.5.5. Certifies acceptance of services.

2.5.6. Promotes business decisions to meet customer requirements by researching the marketplace to remain current with the most efficient and effective performance assessment methods and techniques. Performs market research throughout the life of the requirement to ensure the MFT is knowledgeable of the commercial marketplace.

2.5.7. Fosters partnerships with industry to ensure exchanges of information with the service industry and other business experts.

2.5.8. Identifies opportunities to improve performance throughout the life of the contract, including benchmarking against industry, identifying initiatives, assessing the risk associated with these initiatives, using the QASP for implementing initiatives brought forward, and monitoring the success of implementation.

2.5.9. Recommends any changes necessary to the contract, PWS, QASP or other requirements to provide more effective operations or eliminate unnecessary costs.

2.6. Quality Assurance Program Coordinator

2.6.1. Coordinates all aspects of the quality assurance program.

2.6.2. Participates in the MFT.

2.6.3. Reviews and coordinates all PWS and QASP.

2.6.4. Provides training for the FD/FC and all COR.

2.6.5. Reviews and coordinates on all changes to the PWS and QASP.

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2.7. Contractor

- 2.7.1. Complies fully with the terms and conditions of the contract.
- 2.7.2. Participates as a member of the MFT in the post-award management phase.
- 2.7.3. Maintains and implements a Quality Control Plan (QCP) that compliments the QASP.
- 2.7.4. Ensures that non-conforming contract services are identified, and corrected. QCP is revised to prevent recurrence.
- 2.7.5. Tenders to the Government for acceptance only those services that conform to contract requirements.
- 2.7.6. Recommends any changes to the contract that will provide more effective operations or eliminate unnecessary costs.

SECTION 3.0.
SERVICE SUMMARY (SS) AND METHOD OF ASSESSMENT

3.1. Services Summary.

Performance Objective	PWS Para	Performance Threshold	Method of Assessment
1. Written Maintenance Control Program (MCP) for each VTE for all equipment. MCP identifies all maintenance intervals to include safety inspections.	4	MCP in accordance with ASME A17.1 delivered to CO in 30 calendar days of contract award.	COR site inspection during contractor inspections and maintenance visits. Random COR site visits to test elevators' full functionality.
2. VTE Service Availability	4	VTE availability is 95%. Calculation = ((sum of all VTE * # days in service during the selected month for each VTE) / (# VTE * # days in the selected month)).	COR site inspection during contractor inspections and maintenance visits. Random COR site visits to test elevators' full functionality.
3. Repair Service Call Routine – Response Time. Response to routine calls within time specified in paragraph 5.1.2.	5	Response to routine service calls are on-time 100% of the time on a monthly basis.	COR site inspection during contractor inspections and maintenance visits. Random COR site visits to test elevators' full functionality.
4. Repair Service Call Emergency – Response Time. Response to emergency calls within time specified in paragraph 5.2.2.	5	Response to emergency service calls are on-time 100% of the time on a monthly basis.	COR site inspection during and after service to ensure contractor's timely response and repairs were made in accordance to PWS.

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5. Service Call Repairs – Repair Quality. Repairs are of high quality resulting in reduced call backs.	5	Only two call backs of the same problem (same instance) each month.	COR site inspection during and after service to ensure contractor's timely response and repairs were made in accordance to the PWS.
6. Inspection – MCP Adherence	4	Inspection to MCP 100%	COR will verify each report is received and acceptable as prescribed by PWS.
7. Preventative Maintenance - MCP Adherence	4.7., 5.1.3, 5.2.3.	Preventative maintenance performed to MCP 100% of time.	COR site inspection during contractor inspections and maintenance visits. Random COR site visits to test elevators' full functionality.
8. Reporting	2, 4, 5	Submit reports in a manner consistent with PWS 100% of the time.	COR will verify each report is received and acceptable as prescribed by PWS.

- 3.2 Deliverables: All deliverables shall be delivered to the 460 CES Contract Officer Representative (COR) electronically and hard copy upon request as prescribed in the Service Summary in Section 3.0.
- 3.3 Initial Business Meeting: Within 5 business days following the award date, Contractor will meet with 460 CES to review goals and objectives of this contract, and to discuss technical requirements.
- 3.4 Records/Data: All data and data rights associated with this effort shall be property of the Government. The Contractor will prepare, but not sign official documents.
- 3.5 Unsatisfactory Work: Performance by the Contractor to correct defects found by the Government as a result of quality assurance surveillance and by the Contractor as a result of quality control, shall be at its own expense and without additional reimbursement by the Government. Unless otherwise negotiated, the Contractor shall correct or replace all

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non-conforming services or deliverables not later than 5 workdays after notification of non-conformance.

- 3.6 Quality Control: The Contractor shall provide a Quality Control Plan (QCP) that contains the items listed below to the CO for acceptance not later than 10 business days after award. The CO will notify the Contractor of acceptance or required modifications to the plan. The Contractor shall make appropriate modifications and obtain acceptance of the plan within 30 calendar days from the date of award.

The QCP shall include the following minimum requirements:

- a. A description of the inspection system to cover all major services and deliverables. The description shall include specifics as to the areas to be inspected on both a scheduled, and unscheduled basis, frequency of inspections, and the title of inspectors.
 - b. A description of the methods to be used for identifying and preventing defects in the quality of service performed.
 - c. A description of the records to be kept to document inspections and corrective or preventative actions taken.
 - d. All records of inspections performed shall be retained and made available to the Government upon request throughout the performance period, and for the period after contract completion, in addition to the final settlement of any claims under this contract.
- 3.7 Quality Assurance: The Government will document the Contractor's performance of this PWS on a monthly basis. For those tasks listed in the SS, the COR or other designated evaluator will follow the method of surveillance specified. Government personnel will record all surveillance observations. When an observation indicates defective performance, the COR or other designated evaluator will require the Contractor manager or representative at the site to initial the observation. The initialing of the observation does not necessarily constitute concurrence with the observation. It acknowledges that the Contractor has been made aware of the non-compliance. Government surveillance of tasks not listed in the SS or by methods other than those listed in the SS (such as provided in the Inspection clause) may occur during the performance period of this contract. Such surveillance will be done according to standard inspection procedures or other contract provisions. Any action taken by the CO as a result of surveillance will be in accordance with the terms of the award.

SECTION 4.0.
ASSESSMENT PROCEDURES

4.1. Assessment of SS Items.

4.1. The COR shall conduct assessment of the Contractor's performance by determining whether or not the performance meets the standards contained in the contract, the PWS, and the SS items.

4.1.2 Assessment Documentation shall include as a minimum, the date, time, and location the assessment was conducted, results of the assessment (acceptable or unacceptable), PWS paragraph number referencing the requirement, a short description of the requirement being surveyed, applicable remarks, and signature of COR conducting the assessment. When COR determine that Contractor performance is unacceptable, the specific reason for the unacceptable performance shall be recorded on the COR assessment documentation.

4.2. Assessment of non-SS Items. The Government has the right to inspect all services called for by the contract, to the extent practicable at all times and places during the term of the contract. Therefore, COR have the right to conduct assessment for SS items and non-SS items as well. When the COR identifies unacceptable performance on non-SS items, the COR shall follow the procedures in section 5.0 of this QASP entitled *Unacceptable Performance*.

4.3. Customer Complaints.

4.3.1. COR shall ensure complaint procedures and forms are made available to all customers. Any personnel that observe questionable services, incomplete, not performed, or performed improperly, should immediately contact the COR. COR shall receive, document, and validate or invalidate all complaints. If the complaint is invalid, the COR shall contact the complainant and explain why the complaint was invalid. COR shall fully document the resolution for each complaint on the Customer Complaint Record. COR shall complete and issue the contractor a Corrective Action Report (CAR) for all valid complaints. If the Contractor challenges the validity of any complaint, and the COR and Contractor cannot come to agreement, the complaint in question shall be forwarded to the CO for resolution. Complaints will be tracked and if the performance threshold is exceeded, the COR shall notify the CO in writing so that the CO can notify the Contractor and appropriate action can be taken.

4.4. COR End of Month. COR shall submit an assessment report to the CO and FC/FD no later than the 15th of each month. The report shall identify the number of assessments conducted, the number of unacceptable performances observed, the number of CAR issued, number of valid complaints, any significant Contractor performance discrepancies, and a rating of the Contractor's overall performance. The report shall be signed and dated by the COR and a copy provided to the CO and FC/FD.

SECTION 5.0.
UNACCEPTABLE PERFORMANCE

5.1. Unacceptable Performance.

- 5.1.1. When the Contractor's performance is deemed unacceptable, COR will determine the cause of the unacceptable performance. If any Government action, or lack of action, caused or contributed to the unacceptable performance, the unacceptable performance will not be counted against the Contractor. The COR will take action to ensure Government action, or lack of action, does not interfere with the Contractor's performance in the future. The COR will completely document the circumstance.
- 5.1.2 When the unacceptable performance is not the result of Government action, or lack of action, COR shall promptly notify the Contractor and issue a CAR to the Contractor to ensure corrective action is taken. By initialing and dating the CAR, the Contractor is acknowledging that s/he has been informed of the unacceptable performance and is not agreeing with the performance assessment. COR shall direct the Contractor to re-perform the service, if possible, without additional cost to the Government. If the Contractor challenges the validity of the COR unacceptable assessment finding, and the COR and Contractor cannot come to an agreement, the matter shall be referred to the CO for resolution. The Contractor shall be required to return all completed CARs to the COR no later than the suspense date indicated on the CAR.
- 5.1.3. Unacceptable performance re-performed by the Contractor shall still count as unacceptable performance.
- 5.1.4. The COR shall maintain a CAR log of all CARs issued to the Contractor (a locally devised form may be used). The CAR log shall contain the CAR number, date issued, Contractor, description of unacceptable performance, suspense date, and closeout date. All CARs and CAR logs shall be maintained by the COR for the life of the contract.

5.2. Contracting Officer Notification.

- 5.2.1. **Major Finding.** If at any time COR identify a condition as having a significant adverse effect on the quality of the activity, such as those stated below, COR shall document their findings and notify the CO immediately in writing. Email is acceptable.
 - 5.2.1.1. Contractor failure to meet a Performance Threshold.
 - 5.2.1.2. Failure to provide adequate corrective action to preclude reoccurrence of Government identified findings.
 - 5.2.1.3. Failure to provide corrective action to deficiencies identified by the Contractor within a prescribed suspense period.
 - 5.2.1.4. Any failure to adhere to security regulations that results in a security incident.

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5.2.2. Minor Finding. A departure from established standards having little bearing on the service provided. When COR identifies a minor finding, the COR shall document the findings, but is not required to notify the CO. However, if the same minor finding is repeatedly identified, it may be an indication that a major finding is occurring or has occurred because the Contractor has not taken proper steps to prevent recurrence. In this case, the COR shall notify the CO in writing.

5.3. Remedies for Unacceptable Performance.

5.3.1. In accordance with the contract Inspection of Services clause, if any of the services do not conform to contract requirements; the Government may require the Contractor to perform the services again in conformity with contract requirements, at no increase in contract amount. This includes but is not limited to: termination of Contractor personnel and recruitment of substitute personnel that are equally qualified within established timeframes. When the defects in services cannot be corrected by re-performance, the Government may:

5.3.1.1. Require the Contractor to take necessary action to ensure that future performance conforms to contract requirements; and

5.3.1.2. Reduce the contract price to reflect the reduced value of the services performed. This may include a reduction in the number of paid hours to reflect the total non-performance period.

5.3.2. If the Contractor fails to promptly perform the services again or to take the necessary action to ensure future performance in conformity with contract requirements, the Government may:

5.3.2.1. By contract or otherwise, perform the services and charge to the Contractor any cost incurred by the Government that is directly related to the performance of such service or

5.3.2.2. Decrease invoice as stated in the PWS related to performance; or

5.3.2.3. Terminate the contract.

SECTION 6.0. CERTIFICATION/ACCEPTANCE OF SERVICES

6.1. COR will certify receipt of acceptable Contractor services each month. The COR will certify that acceptable services were received, in accordance with the terms and conditions of the contract. The COR will certify receipt of Contractor services via the Wide Area Workflow (WAWF) website. Certification of services shall be accomplished on the first workday following the completion of the contract payment period to avoid payment of interest penalties.

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- 6.2. COR are responsible for obtaining, scheduling, and completing WAWF training from the following website <https://wawftraining.eb.mil/xhtml/unauth/web/wbt/WbtSummary.xhtml>

SECTION 7.0. CONTRACTOR'S QUALITY CONTROL PLAN

- 7.1. The Contractor shall establish and maintain a QCP to ensure the requirements of the contract are provided as specified. The Contractor shall provide a QCP describing the inspection system for the services required in the PWS. The Contractor shall develop and implement procedures to identify, prevent, and ensure non-recurrence of unacceptable services. The Contractor shall update the plan as changes occur and changes shall be submitted for review and acceptance by the CO. The Contractor's QCP shall contain, as a minimum, the following items:
- 7.1.1. A description of the inspection system to cover all services. Description shall include specifics as to the areas to be inspected on a scheduled and unscheduled basis, frequency of inspections, and the title and organizational placement of the inspector(s).
- 7.1.2. A description of the methods to be used for identifying and preventing defects in the quality of service performed.
- 7.1.3. A description of how the records will be kept. Records must document all inspections and corrective or preventive actions taken.
- 7.2. **Contractor Inspection Records.** Records of inspections shall be kept and made available to the Government throughout the contract performance period and for the period after contract completion until final settlement of any claims under this contract.

SECTION 8.0. CONTRACT MANAGEMENT

- 8.1. The multi-functional team shall utilize the following approaches, methods, and tools to manage the contract upon award:
- 8.1.1. COR shall conduct, document, track, and analyze Contractor performance via regular assessments. The assessment results shall be maintained as Past Performance Information and utilized to prepare and support annual Contractor Performance Assessment Report System (CPARS) reporting. Assessment results, along with the Contractor's submittals, shall be used to develop metrics to track Contractor's overall compliance with contract terms and conditions.
- 8.1.2. The Contractor shall maintain and implement a QCP to ensure the contract services conform to the requirements of the PWS. COR shall monitor Contractor's performance against the contractor's QCP.

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- 8.1.3. The multi-functional team shall conduct periodic progress meetings to review the Contractor's performance. At these meetings, the CO will apprise the Contractor of how the Government views the Contractor's performance and the Contractor will apprise the Government of problems, if any, being experienced. The Contractor will also notify the CO, in writing, of any work being performed that the Contractor considers over and above the requirements of the contract. Appropriate action shall be taken to resolve any outstanding issues.